



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

WHITE *et al.*

Appl. No.: 10/057,523

Filed: January 22, 2002

For: **Distributed Voice User Interface**

Confirmation No.: 5053

Art Unit: 2626

Examiner: Martin Lerner

Atty. Docket: 2222.0820005

**Information Disclosure Statement**

***Mail Stop Amendment***

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on accompanying IDS Forms are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached IDS Forms based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may

not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR **before the mailing of a first Office Action after the filing of a request for continued examination** under 37 C.F.R. § 1.114. No statement or fee is required.

☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.

☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

☐ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).

- ☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office

is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.

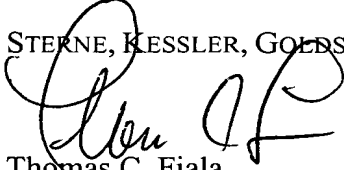
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below in accordance with 37 C.F.R. § 1.98(a)(3).
- ☒ 7. Copies of **Doc Nos. NPL1 - NPL8** are submitted. However, in accordance with 37 C.F.R. § 1.98(a)(2), no copies of U.S. patents and patent application publications cited on the attached IDS Forms are submitted.
- ☐ 8. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).
- ☐ 9. It is expected that the examiner will review the prosecution and cited art in the parent application no(s). \_\_\_\_\_ in accordance with MPEP 2001.06(b), and indicate in the next communication from the office that the art cited in the earlier prosecution history has been reviewed in connection with the present application.

It is respectfully requested that the Examiner initial and return a copy of the enclosed IDS Forms, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

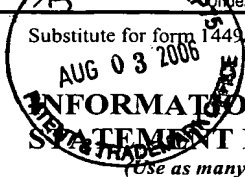
STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

  
Thomas C. Fiala  
Attorney for Applicants  
Registration No. 43,610

Date: \_\_\_\_\_

8/3/06

1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934  
(202) 371-2600

 <p>Substitute for form 1449/PTO</p> <p><b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b></p> <p>(Use as many sheets as necessary)</p>				<b>Complete if Known</b>	
				Application Number	10/057,523
				Filing Date	January 22, 2002
				First Named Inventor	George M. WHITE
				Art Unit	2626
				Examiner Name	Martin Lerner
Sheet 1 of 2				Attorney Docket Number	2222.0820005

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (If Known)			
	US1	2002/0164000-A1	11/2002	Cohen et al.	
	US2	2002/0198719	12/2002	Gergic et al.	
	US3	4,525,793	06/1985	Stackhouse	
	US4	4,731,811	03/1998	Dubus	
	US5	4,785,408	11/1988	Britton et al.	
	US6	5,651,056	07/1997	Eting et al.	
	US7	5,694,558	12/1997	Sparks et al.	
	US8	5,812,977	09/1998	Douglas	
	US9	5,819,220	10/1998	Sarukkai et al.	
	US10	5,899,975	05/1999	Nielsen	
	US11	5,913,195	06/1999	Weeren et al.	
	US12	5,926,789	07/1999	Barbara et al.	
	US13	5,946,050	08/1999	Wolff	
	US14	5,953,700	09/1999	Kanevsky et al.	
	US15	6,035,275	03/2000	Brode et al.	
	US16	6,078,886	06/2000	Dragosh et al.	
	US17	6,098,043	08/2000	Forest et al.	
	US18	6,101,473	08/2000	Scott et al.	
	US19	6,144,938	11/2000	Surace et al.	
	US20	6,173,266	01/2001	Marx et al.	

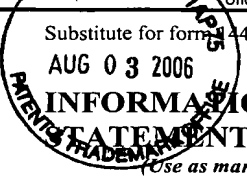
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	FP1					
	FP2					
	FP3					
	FP4					
	FP5					
	FP6					
	FP7					
	FP8					
	FP9					

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

 Substitute for form 449/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>		
				Application Number	10/057,523	
Sheet		2	of	2	Filing Date	January 22, 2002
					First Named Inventor	George M. WHITE
					Art Unit	2626
					Examiner Name	Martin Lerner
					Attorney Docket Number	2222.0820005

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if Known)			
	US21	6,185,535	02/2001	Hedin et al.	
	US22	6,321,198	11/2001	Hank et al.	
	US23	6,385,583	05/2002	Ladd et al.	
	US24	6,385,584	05/2002	McAllister et al.	
	US25	6,400,806	06/2002	Uppaluru	
	US26	6,418,440	07/2002	Kuo et al.	
	US27	6,510,411	01/2003	Norton et al.	
	US28	6,539,359	03/2003	Ladd et al.	
	US29	6,578,000	06/2003	Dodrill et al.	
	US30				
	US31				
	US32				
	US33				
	US34				
	US35				
	US36				
	US37				
	US38				
	US39				
	US40				

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	FP10					
	FP11					
	FP12					
	FP13					
	FP14					
	FP15					
	FP16					
	FP17					
	FP18					

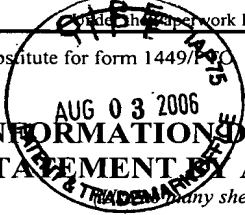
Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \*Applicant's unique citation designation number (optional). \* See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. \* Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). \* For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \* Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. \* Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Substituted for form 1449/PTO  INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/057,523
				Filing Date	January 22, 2002
				First Named Inventor	George M. WHITE
				Art Unit	2626
				Examiner Name	Martin Lerner
				Attorney Docket Number	2222.0820005
Sheet	1	of	1		

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume issue number(s), publisher, city and/or country where published		T <sup>2</sup>
	NPL1	<a href="http://www.generalmagic.com/products/enterprise_ds.pdf">www.generalmagic.com/products/enterprise_ds.pdf</a> ; "magicTalk Enterprise Platform," Printed 12/12/01; Posted in June 2001; 2 pages.		
	NPL2	<a href="http://www.generalmagic.com/products/enterprise_platform.shtml">www.generalmagic.com/products/enterprise_platform.shtml</a> ; "magicTalk Enterprise Platform," Printed 12/12/01; Posted in June 2001; 2 pages.		
	NPL3	Hanrieder, G., "Integration Of A Mixed-Initiative Dialogue Manager Into Commercial IVR Platforms," <i>Proceedings Of The 1998 IEEE 4<sup>th</sup> Workshop On Interactive Voice Technology for Telecommunications Applications</i> , pp. 77-82 (September 29-30, 1998).		
	NPL4	"magicTalk Voice Application Development Platform," from <a href="http://www.generalmagic.com/voice/platform.shtml">http://www.generalmagic.com/voice/platform.shtml</a> , 3 pages (printed on May 14, 2001).		
	NPL5	"Nuance Speech Objects™", from <a href="http://www.nuance.com/products/speechobjects.html">http://www.nuance.com/products/speechobjects.html</a> , 3 pages (printed on May 14, 2001).		
	NPL6	"SpeechObjects™ & VoiceXML," White Paper, Nuance Communications, Inc., from <a href="http://www.nuance.com/pdf/SpeechObjectsVoiceXMLWP.pdf">http://www.nuance.com/pdf/SpeechObjectsVoiceXMLWP.pdf</a> , 14 pages (2000).		
	NPL7	"SpeechObjects: An Architectural Overview," White Paper, Nuance Communications, Inc., from <a href="http://www.nuance.com/SpeechObjects_whitepaper050100mm.pdf">http://www.nuance.com/SpeechObjects_whitepaper050100mm.pdf</a> , 16 pages (printed on May 14, 2001).		
	NPL8	"Voice Gateway," from <a href="http://www.generalmagic.com/voice/gateway.shtml">http://www.generalmagic.com/voice/gateway.shtml</a> , 4 pages (printed on May 14, 2001).		
	NPL9			
	NPL10			

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.